



PATENT  
Attorney Docket No.: COOL-00800

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Girish Upadhy et al.

Serial No.: 10/698,180

Filed: October 30, 2003

For: **OPTIMAL SPREADER SYSTEM,  
DEVICE AND METHOD FOR  
FLUID COOLED MICRO-SCALED  
HEAT EXCHANGE**

) Group Art Unit: 3744

) Examiner: Ciric, Ljiljana V.

) **TRANSMITTAL LETTER**

) 162 N. Wolfe Road  
) Sunnyvale, CA 94086  
) (408) 530-9700

) Customer No. 28960

MS: Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Enclosed please find a Supplemental Information Disclosure Statement, a Certification pursuant to 37 C.F.R. § 1.97(e) for the Supplemental Information Disclosure Statement, and Form PTO-1449, including copies of the references contained thereon, for filing in the U.S. Patent and Trademark Office.

The Commissioner is hereby authorized to charge any additional fee or credit overpayment to our Deposit Account No. 08-1275. **An originally executed duplicate of this transmittal is enclosed for this purpose.**

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 4-12-07

By: Thomas B. Haverstock  
Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

**CERTIFICATE OF MAILING (37 CFR § 1.8(a))**

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450

HAVERSTOCK & OWENS LLP.

Date: 4-12-07 By: Mary G. Buler



PATENT  
Attorney Docket No.: COOL-00800

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	)	Group Art Unit: 3744
Girish Upadhy et al.	)	Examiner: Ciric, Ljiljana V.
Serial No.: 10/698,180	)	<b><u>CERTIFICATION FOR</u></b>
Filed: October 30, 2003	)	<b><u>SUPPLEMENTAL INFORMATION</u></b>
For: <b>OPTIMAL SPREADER SYSTEM,</b>	)	<b><u>DISCLOSURE STATEMENT UNDER 37</u></b>
<b>DEVICE AND METHOD FOR</b>	)	<b><u>CFR § 1.97(e)</u></b>
<b>FLUID COOLED MICRO-SCALED</b>	)	162 N. Wolfe Road
<b>HEAT EXCHANGE</b>	)	Sunnyvale, CA 94086
	)	(408) 530-9700
	)	Customer No.: 28960

MS: Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This certification is being made for the Supplemental Information Disclosure Statement accompanying this certification.

**Certification**

I, the person signing below, hereby certify that the printed publications contained in the enclosed supplemental information disclosure statement were cited within an Official Action mailed on January 26, 2007. **Accordingly, I hereby certify that no references contained within this supplemental information disclosure statement were cited in a communication from a foreign patent office in a related foreign application, and, to the knowledge of the person signing the statement, after making reasonable inquiry, no reference contained within this supplemental information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this supplemental information disclosure statement. 37 C.F.R. 1.97(e)(2).**

**Identification of Person Making Certification**

The person making this certification is the attorney who signs below on the basis of the information in the attorney's file.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 4-12-07

By Thomas B. Haverstock  
Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

CERTIFICATE OF MAILING (37 C.F.R. 1.6(a))  
I hereby certify that this paper, (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450

HAVERSTOCK & OWENS LLP

Date: 4-12-07 by Mary Sobel



PATENT  
Attorney Docket No.: COOL-00800

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	)	Group Art Unit: 3744
	)	
Girish Upadhy et al.	)	Examiner: Ciric, Ljiljana V.
	)	
Serial No.: 10/698,180	)	<b><u>SUPPLEMENTAL INFORMATION</u></b>
	)	<b><u>DISCLOSURE STATEMENT</u></b>
Filed: October 30, 2003	)	
	)	162 N. Wolfe Road
For: <b>OPTIMAL SPREADER SYSTEM,</b>	)	Sunnyvale, CA 94086
<b>DEVICE AND METHOD FOR</b>	)	(408) 530-9700
<b>FLUID COOLED MICRO-SCALED</b>	)	
<b>HEAT EXCHANGE</b>	)	Customer No. 28960

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313

Sir:

The citations listed below, copies attached, may be material to the examination of the above-identified application, and are therefore submitted in compliance with the duty of disclosure defined in 37 C.F.R. §§ 1.56 and 1.97. The Examiner is requested to make these citations of official record in this application.

- U.S. Patent No. 4,698,661
- U.S. Patent No. 5,909,057;
- U.S. Patent No. 6,057,597;
- U.S. Patent No. 6,562,662 B2;
- U.S. Patent No. 6,787,899 B2; and
- U.S. Patent No. 6,972,485 B2.

PATENT  
Attorney Docket No.: COOL-00800

This Supplemental Information Disclosure Statement under 37 C.F.R. §§ 1.56 and 1.97 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that anyone or more of these citations constitutes prior art.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 4-12-07

By: 


Thomas B. Haverstock  
Reg. No.: 32,571

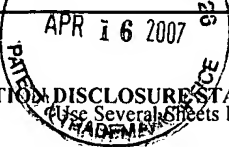
Attorneys for Applicants

**CERTIFICATE OF MAILING (37 CFR § 1.6(a))**

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450

HAVERSTOCK & OWENS LLP

Date: 4-12-07 

FORM PTO-1449 (Modified)				U.S. Department of Commerce Patent and Trademark Office		Attorney Docket No.: COOL-00800		Serial No.: 10/698,180	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>									
(37 CFR § 1.98(b))									
Applicants: Girish Upadhy et al.									
Filing Date: October 30, 2003						Group Art Unit: 3744			
<b>U.S. PATENT DOCUMENTS</b>									
Examiner Initials	Serial / Patent Number	Issue Date	Applicant / Patentee	Class	Subclass	Filing Date			
AA	4,698,661	10/06/87	Bessonneau et al.	357	74	1/23/87			
AB	5,909,057	6/1/99	McCormick et al.	257	704	9/23/97			
AC	6,057,597	5/2/00	Farnworth et al.	257	710	10/14/98			
AD	6,562,662 B2	5/13/03	Shishido et al.	438	125	9/25/01			
AE	6,787,899 B2	9/7/04	Rinella et al.	257	712	3/12/02			
AF	6,972,485 B2	12/6/05	Kong et al.	257	704	1/17/03			
AG									
AH									
AI									
AJ									
<b>FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS</b>									
		Document Number	Publication Date	Country / Patent Office	Class	Subclass	Translation		
							Yes	No	
AK									
AL									
AM									
AN									
AO									
<b>OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)</b>									
AP									
AQ									
AR									
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AU									
AV									
AW									
AX									
AY									
AZ									
Examiner:					Date Considered:				
<b>EXAMINER:</b> Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.									